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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/045,303	10/29/2001	James H. Stephens JR.	263550US8	1293

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OBLON, SPIVAK, MCCLELLAND, MAIER & NEUSTADT, P.C.  
1940 DUKE STREET  
ALEXANDRIA, VA 22314

EXAMINER
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SHAW, PELING ANDY

ART UNIT	PAPER NUMBER
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2144

SHORTENED STATUTORY PERIOD OF RESPONSE	NOTIFICATION DATE	DELIVERY MODE
3 MONTHS	05/01/2007	ELECTRONIC

**Please find below and/or attached an Office communication concerning this application or proceeding.**

If NO period for reply is specified above, the maximum statutory period will apply and will expire 6 MONTHS from the mailing date of this communication.

Notice of this Office communication was sent electronically on the above-indicated "Notification Date" and has a shortened statutory period for reply of 3 MONTHS from 05/01/2007.

Notice of the Office communication was sent electronically on above-indicated "Notification Date" to the following e-mail address(es):

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# Office Action Summary

Application No.

10/045,303

Applicant(s)

STEPHENS, JAMES H.

Examiner

Peling A. Shaw

Art Unit

2144

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

## Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- 1) ☒ Responsive to communication(s) filed on 06 February 2007.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

- 4) ☒ Claim(s) 1-20 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-20 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

## Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

## Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

## Attachment(s)

- |  |   |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892)   | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)                       | 5) <input type="checkbox"/> Notice of Informal Patent Application                       |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)<br>Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____  |

**DETAILED ACTION**

1. Amendment received on 02/06/2007 has been entered into record. Claims 11-20 are amended. Claims 1-20 are currently pending.
2. Applicant had submitted an Appeal Brief on 10/13/2006 together with amended claim language changes on claims 11-20 in an effort to reduce issues with respect to 35 USC § 101. Examiner had reviewed the amended claim changes and found that the amended claim changes did touch upon the issues of claims 11-20 rejection under 35 USC § 101. This necessitated an issue of non-final action dated 01/16/2007.
3. Amendment received on 12/07/2005 was entered. Claims 1, 4, 5, 11-13, 16, 17 and 20 were amended.

***Priority***

4. This application has no priority claim made. The filing date is 10/29/2001.

***Claim Rejections - 35 USC § 112, second paragraph***

5. The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

Claim 20 is rejected under 35 U.S.C. 112, second paragraph as following:

- a. Claim 20 recites the limitation of "encode in the tangible computer-usable medium".

There is insufficient antecedent basis for this limitation in the claim. For the purpose of applying art, claim 20 is read with the limitation of "encode in the tangible storage media" instead of "encode in the tangible computer-usable medium".

Clarification and/or correction are required.

*Claim Rejections - 35 USC § 101 Utility*

6. 35 U.S.C. 101 reads as follows:

Whoever invents or discovers any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof, may obtain a patent therefor, subject to the conditions and requirements of this title.

Claims 11-19 are rejected under 35 U.S.C. 101 because the claimed invention is directed to non-statutory subject matter.

- a. Claim 11 recites the limitation of “A tangible computer storage media ...” and further the limitations of “... tangible computer-usable medium ...” that is described in lines 9-14 on page 12 of applicant’s original specification as “Alternative embodiments of the invention include computer-usable media encoding logic such as computer instructions for performing the operations of the invention. Such computer-usable media may include, without limitation, storage media such as floppy disks, hard disks, CD-ROMs, read-only memory, and random access memory; as well as communications media such wires, optical fibers, microwaves, radio waves, and other electromagnetic and/or optical carriers.” The cited portion of the specification provides intrinsic evidence that Applicant intends for the phrase of “tangible computer-usable medium” as used in the claims to include both “storage or memory media” and communication media, where the communication media includes “...wires, optical fibers, microwaves, radio waves, and other electromagnetic and/or optical carriers ...” in addition to anything else which would have reasonably been considered to be a signal medium by one of ordinary skill in the art. As such, the claim covers embodiments directed to signals, per se. Since a signal lacks the necessary physical articles or objects necessary for it to be a machine or a

manufacture within the meaning of 35 USC 101, and it's clearly not a series of steps or acts so as to be a process or combination of two or more substances so as to be a composition of matter, it fails to fall within a statutory category. Since the claim is not limited to embodiments eligible for patent protection, it is being rejected as non-statutory as directed to a form of energy rather than a patent-eligible machine, manufacture, process or composition of matter. Claims 11, 20 and their dependent claims 12-19 are thus rejected.

- b. The term of "computer-usable media" is being considered to encompass "storage media or memory media such as magnetic or optical media, e.g., disk or CD-ROM" would make it considered as tangible and statutory, but the inclusion of "communication media or signals such as electrical, electromagnetic, or digital signals, conveyed via a communication medium such as a network and/or a wireless link" would make it considered as intangible and non-statutory.
- c. For the purpose of applying art, claims 11 is read with the limitations of "tangible computer-usable storage medium" instead of "tangible computer-usable medium".

Appropriate corrections are required.

***Claim Rejections - 35 USC § 103***

7. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Claims 1-20 are rejected under 35 U.S.C. 103(a) as being unpatentable over Natarajan et al. (US 6505244 B1), hereinafter referred as Natarajan as applied to claims 1 and 2, and further in view of Evans (US 5694524 A), hereinafter referred as Evans and Yates et al. (US 6330586 B1), hereinafter referred as Yates.

- a. Natarajan shows (claim 1) a method for modeling video teleconferencing network reliability (column 2, line 15-22; column 6, lines 49-65; column 29, line 37-column 30, line 33), the method comprising: obtaining historical data for multiple video conferences (Fig. 17, item 1706, 1722; column 29, line 37-column 30, line 33); storing said historical data in a call history table (Fig. 15; column 7, lines 12-43; feedback-based adaptive network, report network information to a centralized data storage entity); executing a modeling algorithm that produces a model representing the historical data (Fig. 17, item 1718 and 1720; column 6, lines 49-65; column 29, line 37-column 30, line 33); analyzing the model to identify characteristics associated with undesirable outcomes for the video conferences (Fig. 17, item 1720, 1724, 1726, 1728; column 6, lines 49-65; column 29, line 37-column 30, line 33); and configuring a video teleconferencing network to avoid at least one of the identified characteristics associated with undesirable outcomes (Fig. 17, item 1708, 1710, 1712, 1714; column 6, lines 49-65; column 29, line 37-column 30, line 33). Natarajan does not show (claim 1) said historical data referenced to video teleconferencing equipment vendor or model identification information; (claim 3) wherein the operation of executing a decision tree algorithm comprises executing an ID3-based algorithm; (claim 7) wherein: the method further comprises building a training set from the historical data;

the operation of executing the modeling algorithm comprises applying the modeling algorithm to the training set; and the operation of analyzing the model comprises: deriving a rule set from the model; and analyzing the rule set to identify the characteristics associated with undesirable outcomes for the video conferences; (claim 9) the specification of multiple vendors in collecting and processing video conference service performance data.

- b. Yates shows (claim 1) said historical data referenced to video teleconferencing equipment vendor or model identification information and (claim 9) the specification of multiple vendors in collecting and processing video conference service performance data (column 5, line 67-column 6, line 12) in an analogous art for the purpose of reconfigurable service provision via a communication network.
- c. Evans shows (claim 3) wherein the operation of executing a decision tree algorithm comprises executing an ID3-based algorithm (column 9, line 12-19); (claim 7) wherein: the method further comprises building a training set from the historical data (column 1, line 51-column 2, line 13; column 2, line 42-58); the operation of executing the modeling algorithm comprises applying the modeling algorithm to the training set (column 1, line 51-column 2, line 13; column 2, line 42-58); and the operation of analyzing the model comprises: deriving a rule set from the model (column 1, line 51-column 2, line 13; column 2, line 42-58); and analyzing the rule set to identify the characteristics associated with undesirable outcomes for the video conferences (column 1, line 51-column 2, line 58); (claim 9) in an analogous art for

the purpose of system and method for identifying conditions leading to a particular result in a multi-variant system.

- d. It would have been obvious to a person of ordinary skill in the art at the time of the invention was made to modify Natarajan's functions of policy engine which supports application specific plug-ins for enforcing policies in a feedback-based, adaptive data network with Evans' functions of using decision tree and training data set, particularly ID3 extension C4.5 algorithm, Yates's functions of identifying a particular result in a multi-variant system, and with specifying vendor consideration in the network performance data collection.
- e. The modification would have been obvious because one of ordinary skill in the art would have been motivated to be able to use decision tree algorithm per Natarajan's teaching and training data set in analyzing video conference performance, particularly ID3 and its extension per Evans' teaching, and to include multiple vendor consideration in specifying network performance data set per Yates's teaching.
- f. Regarding claim 2, Natarajan shows wherein the operation of executing a modeling algorithm that produces a model comprises executing a decision tree algorithm (column 14, lines 5-50; column 15, lines 1-37: decision tree).
- g. Regarding claim 4, Natarajan shows further comprising conducting a new video conference with the video teleconferencing network configured to avoid at least one of the identified characteristics associated with undesirable outcomes (Fig. 17, item 1720, 1724, 1726, 1728; column 29, line 37-column 30, line 33).

- h. Regarding claim 5, Natarajan shows further comprising: updating the historical data to create new historical data that includes values representing characteristics of the new video conference (Fig. 15; column 7, lines 12-43: feedback-based adaptive network, report network information to a centralized data storage entity; Fig. 17, item 1706, 1722; column 29, line 37-column 30, line 33); executing the modeling algorithm to produce a new model representing the new historical data (Fig. 17, item 1718 and 1720; column 29, line 37-column 30, line 33; column 14, lines 5-50; column 15, lines 1-37: decision tree); analyzing the new model to produce a result (Fig. 17, item 1720, 1724, 1726, 1728; column 29, line 37-column 30, line 33); and reconfiguring the video teleconferencing network according to the result (Fig. 17, item 1708, 1710, 1712, 1714; column 29, line 37-column 30, line 33).
- i. Regarding claim 6, Natarajan shows further comprising: evaluating the model to determine whether the model provides a desired level of efficacy (Fig. 17, item 1720, 1724, 1726, 1728; column 29, line 37-column 30, line 33); and in response to determining that the model does not provide a desired level of efficacy, using a different modeling algorithm to produce a different model (Fig. 17, item 1720, 1724, 1726, 1728; column 29, line 37-column 30, line 33).
- j. Regarding claim 8, Natarajan shows wherein: the historical data includes attribute values for attributes of each video conference and an outcome value representing an outcome for each video conference (column 2, line 15-22; column 29, line 37-column 30, line 33); and the operation of applying the modeling algorithm to the training set comprises: using the outcome values as categorical attributes for the modeling

algorithm (column 2, line 15-22; column 29, line 37-column 30, line 33); and using the attribute values as non-categorical attributes for the modeling algorithm (column 2, line 15-22; column 29, line 37-column 30, line 33).

- k. Regarding claim 10, Natarajan shows wherein: the training set includes values representing a first set of attributes (Fig. 17, item 1706, 1722); and the method further comprises: evaluating the model to determine whether the model provides a desired level of efficacy (Fig. 17, item 1720, 1724, 1726, 1728); in response to determining that the model does not provide a desired level of efficacy, building a different training set that includes a different set of attributes (Fig. 17, item 1720, 1724, 1726, 1728); and applying the modeling algorithm to the different training set to produce a different model (Fig. 17, item 1708, 1710, 1712, 1714).
- l. Claims 11-14, 16 and 20 are of the same scope as claims 1-2 and 5. These are rejected for the same reasons as for claims 1-2 and 5.
- m. Claims 15 and 17-19 are of the same scope as claims 3 and 7-9. These are rejected for the same reasons as for claims 3 and 7-9.

Together Natarajan, Evans and Yates disclosed all limitations of claims 1-20. Claims 1-20 are rejected under 35 U.S.C. 103(a).

*Response to Arguments*

8. Applicant's arguments filed on 02/06/2007 have been fully considered, but they are not persuasive.
- a. Applicant has alleged that Natarajan and Yates do not disclose or suggest applicant's claimed limitations of "historical data referenced to video teleconferencing equipment vendor or model identification information as per applicant's specification in line 30 on page 7 to line 22 on page 8 and Figs 3-5". Examiner has reviewed applicant's cited reference in the specification. The specification disclosed a data structure of a data record containing vendor or model identification information. Per Background of the Invention in lines 11-19 on page 2 in applicant's specification, video network devices may come from different vendors. There is no further description on how the vendor and model information would be used in applicant's claimed invention. It is obvious to a person of ordinary skill in the art of network management at the time of the invention was that it must be necessary to identify one network equipment with its origin and specific function, i.e. manufacture and equipment name as per applicant's background information suggested and Yates has also shown (column 5, line 67-column 6, line 12) in similar situation that it is critical to identify vendor and service origin information for service management functions.
  - b. Applicant has alleged that Natarajan does not disclose or suggest applicant's claimed limitations of "obtaining historical data for multiple video conferences, and storing this multi-conference historical data in a call history table". Examiner has reviewed applicant's original specification and claim language. Applicant has made general

statement on the alleged limitations without further detail description on the alleged limitations. Natarajan has shown (Fig. 17, item 1706, 1722; column 29, line 37-column 30, line 33) reporting packet drops to data store over time intervals; (Fig. 15; column 7, lines 12-43) a feedback-based adaptive network and report network information to a centralized data storage entity in video conference applications.

- c. Applicant has alleged that Natarajan does not disclose or suggest applicant's claimed limitations of "executing a modeling algorithm that produces a model representing the historical data" in light of lines 1-7 on page 9 of applicant's specification and item 101 in Fig. 6. Examiner has reviewed the claimed limitation in light of applicant's recited references. There is no specific detail description how a particular algorithm is used in analyzing historical data. Examiner has further reviewed the cited Natarajan references in the claim rejection sections. Natarajan has shown (Fig. 17, item 1718 and 1720; column 6, lines 49-65; column 29, line 37-column 30, line 33) collecting packet drop reports, evaluating effectiveness of current policy in controlling number of packets dropped, administrative active monitoring and management policy in video conference applications.
- d. It is the Examiner's position that Applicant has not submitted claims drawn to limitations, which define the operation and apparatus of Applicant's disclosed invention in manner, which distinguishes over the prior art. As it is Applicant's right to claim as broadly as possible their invention, it is also the Examiner's right to interpret the claim language as broadly as possible. It is the Examiner's position that the detailed functionality that allows for Applicant's invention to overcome the prior

art used in the rejection, fails to differentiate in detail how these features of applicant's specification are unique (see items a-e in section 7). Natarajan and Yates has shown the general art of monitoring and managing multiple communication applications as provided by multiple vendors. It is clear that Applicant must be able to submit claim language to distinguish over the prior arts used in the above rejection sections that discloses distinctive features of Applicant's claimed invention. It is suggested that Applicant compare the original specification and claim language with the cited prior art used in the rejection section above or the Remark section below to draw an amended claim set to further the prosecution.

- e. Failure for Applicant to narrow the definition/scope of the claims and supply arguments commensurate in scope with the claims implies the Applicant's intent to broaden claimed invention. Examiner interprets the claim language in a scope parallel to the Applicant in the response. Examiner reiterates the need for the Applicant to more clearly and distinctly define the claimed invention.

***Remarks***

9. The following pertaining arts are discovered and not used in this office action. Office reserves the right to use these arts in later actions.

- a. Hales et al. (US 6288739 B1) Distributed video communications system
- b. Grabelsky et al. (US 6678250 B1) Method and system for monitoring and management of the performance of real-time networks

*Conclusion*

10. THIS ACTION IS MADE FINAL. Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

11. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure. Refer to the enclosed PTO-892 for details.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Peling A. Shaw whose telephone number is (571) 272-7968. The examiner can normally be reached on M-F 8:00 - 4:00.

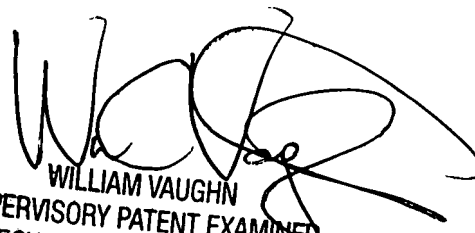
If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, William C. Vaughn can be reached on (571) 272-3922. The fax phone number for the organization where this application or proceeding is assigned is (571) 273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished

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